PTO/SB/08a/b (08-03)

Approved for use through 07/31/2008. OMB 0851-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Complete if Known Substitute for form 1449A/B/PTO **Application Number** 10/509,354 INFORMATION DISCLOSURE Filing Date September 27, 2004 STATEMENT BY APPLICANT First Named Inventor Nick Zakhleniuk Art Unit N/A (Use as many sheets as necessary) Examiner Name Not Yet Assigned 2 **BTW-087US** Sheet of Attorney Docket Number

			U.S. PA	TENT DOCUMENTS	
Examiner Initials*	0.11	Document Number	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where
	Cite No.1	Number-Kind Code ² (if known)	MM-DD-YYYY		Relevant Passages or Relevant Figures Appear
Ma	A1	4,720,835	01-19-1988	Yukitoshi, et al.	
MAK		5,187,715	02-16-1993	Weisbuch, et al.	
VIII	A3	5,604,762	02-18-1997	Morinaga, et al.	
Mh	A4	5,732,102A	03-24-1998	Bouadma	
	A5	5,909,614	06-01-1999	Krivoshlykov	
	A6	6,052,400A	04-18-2000	Nanbu, et al.	
12	A7	6,294,794 B1	09-25-2001	Yoshimura, et al.	

		FOREI	GN PATENT	DOCUMENTS		
Examiner Initials*	Cite No.1	Foreign Patent Document Country Code ³ -Number ⁴ -Kind Code ⁵ (If known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	
	A8	EP 0300790 B1	01-25-1989	Kokusai Denshin Denwa Co. Ltd.		П
	A9	EP 0467781 A2	01-22-1992	Kokusai Denshin Denwa Co. Ltd.		
	A10	EP 0546706 A1	03-13-1996	AT&T Corp.		
	A11	EP 0918245 A1	05-26-1999	Lucent Technologies Inc.		П
	A12	EP 1094574 A1	04-25-2001	Interuniversitair Micro- Elektronica Centrum VZW		
	A13	GB 2306773 A	05-07-1997	Toshiba Cambridge Research Centre Limited		
	A14	JP 01223791 A	09-06-1989	Fujitsu Ltd.		
70	A15	JP 07131121	05-19-1995	Canon Inc.		П
V/2	A16	JP 09222588 A	08-26-1997	Fujitsu Ltd.		
	A17	WO 02/025705 A2	03-28-2002	Science & Technology Corp.		

MINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not possible of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
\mathcal{G}	A18	Aizawa, T., et al. "Observation of Field-Induced Refractive Index Variation in Quantum Box Structure." IEEE Photonics Technology Letters. 1991 Oct 1. 3(10):907-9.	

Examiner Signature		a la	Date Considered	7/	07	
	7					

PTO/SB/08a/b (08-03)
Approved for use through 07/31/2008. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/B/PTO				Complete if Known		
				Application Number	10/509,354	
11	IFORMATIC	ON DISC	LOSURE	Filing Date	September 27, 2004	
S	TATEMENT	BY AP	PLICANT	First Named Inventor	Nick Zakhleniuk	
1				Art Unit	N/A	
	(Use as many	sheets as nec	essary)	Examiner Name	Not Yet Assigned	
Sheet	2	of	2	Attorney Docket Number	BTW-087US	

	·	· NON PATENT LITERATURE DOCUMENTS					
Examiner Initials	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.					
B	B1	Allen, C.N., et al. "InAs Self-Assembled Quantum-Dot Lasers Grown on (100) InP." Applied Physics Letters. 2002 May 13. 80(19): 3629-31.					
	B2	Bimberg, D., et al. "InGaAS-GaAs Quantum-Dot Lasers." IEEE Journal of Selected Topics in Quantum Electronics. 1997 Apr. 3(2).					
	B3	Delorme, F., et al. "Ultra-Fast Optical Switching Operation of DBR Lasers Using an Electro- Optical Tuning Section." IEEE Photonics Technology Letters, 1995 Mar. 7(3).					
	B4	Griesinger, U.A., et al. "Realization of Dot DFB Lasers." IEEE Photonics Technology Letters. 1996 May 1. 8(5): 587-9.					
	B5	Heinrichsdorff, F., et al. "Room-Temperature Continuous-Wave Lasing from Stacked InAs/GaAs Quantum Dots Grown by Metalorganic Chemical Vapor Deposition." Applied Physics Letters. 1997 Jul 7. 71(1): 22-4.					
	B6	Kamp, M., et al. "InGaAs/AlGaAs Quantum Dot DFB Lasers Operating up to 213 C." Electronics Letters. 1999 Nov 11. 35(23):2036-7.					
	B7	Kirstaedter, N., et al. "Low Threshold, Large T Injection Laser Emission From (InGa) As Quantum Dots." Electronics Letters. 1994 Aug 18. 30(17):1416-7.					
	B8	Kohmoto, S., et al. "Site-Controlled Self-Organization of InAs Quantum Dots." Materials Science and Engineering B. 2002 Jan 16. 88(2-3):292-7.					
	B9	Lee, S.S., et al: "Analysis and Design of High-Speed High-Efficiency GaAs-AlGaAs Double-Heterostructure Waveguide Phase Modulator." <i>IEEE Journal of Quantum Electronics</i> . 1991 Mar. 27(3).					
	B10	Lester, L.F., et al. "Optical Characteristics of 1.24-µm InAs Quantum-Dot Laser Diodes." IEEE Photonics Technology Letters. 1999 Aug. 11(8): 931-3.					
	B11	Murata, S., et al. "Spectral Characteristics for a 1.5 µm DBR Laser with Frequency-Tuning Region., IEEE Journal of Quantum Electronics. 1987 Jun 1. QE-23(6):835-8.					
	B12	Oshinowo, J., et al. "Highly Uniform InGaAs/GaAs Quantum Dots (-15 NM) by Metalorganic Chemical Vapor Deposition." Applied Physics Letters. 1994 Sep 12. 765(11):1421-3.					
	B13	Ravikumar, K.G., et al. "Analysis of Electric Field Effect in Quantum Box Structure and Its Application to Low-Loss Intersectional Type Optical Switch." Journal of Lightwave Technology. 1991 Oct 1. 9(10):1376-85.					
ar	B14	Walker, R.G. "High-Speed III-V Semiconductor Intensity Modulators." <i>IEEE Journal of Quantum Electronics</i> . 1991 Mar 1. 27(3):654-67.					

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached.

	-				
Examiner Signature	Trace	kan	Date Considered	7/07	
	////	7		2//	